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PTO/SB/29 (05-03)

Approved for use through 04/03/2003. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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CONTINUED PROSECUTION APPLICATION (CPA) REQUEST TRANSMITTAL

Submit an original, and a duplicate for fee processing
(Only for Continuation or Divisional applications under 37 CFR 1.53(d))

CHECK BOX, if applicable:
☐ DUPLICATE

Address to: Mail Stop CPA Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450	Attorney Docket No. of Prior Application	85773-161
	First Named Inventor	Stephen Douglas Peters
	Examiner Name	V.P. Harper
	Art Unit	2654
	Express Mail Label No.	EU950127423US

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JUL 17 2003

This is a request for a ☒ continuation or ☐ Divisional application under 37 CFR 1.53(d),
(continued prosecution application (CPA)) of prior application number 09 / 468,138
filed on December 21, 1999, entitled Method and Apparatus for Providing Hypothesis Driven Speech Modelling for Use in Speech Recognition.

Technology Center 2600

NOTES

Filing Qualifications: The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 CFR 1.52(b), of (2) the national stage of an international application in compliance with 35 U.S.C. 371. Effective May 29, 2000, a CPA may only be filed in a utility or a plant application if the prior nonprovisional application was filed before May 29, 2000. A CPA may be filed in a design application regardless of the filing date of the prior application. See "Request for Continued Examination Practice changes to and Provisional Application Practice," Final Rule, 65 Fed. Reg. 50092 (Aug. 16, 2000); Interim Rule, 65 Fed. Reg. 14865 (Mar. 20, 2000), 1233 Off. Gaz. Pat. Office (Apr. 11, 2000).

C-I-P NOT PERMITTED: A continuation-in-part application cannot be filed as a CPA under 37 CFR 1.53(d), but must be filed under 37 CFR 1.53(b).

EXPRESS ABANDONMENT OF PRIOR APPLICATION: The filing of this CPA is request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 CFR 1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.

ACCESS TO PRIOR APPLICATION: The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, copies of, or information concerning, the prior application may be given similar access to, copies of, or similar information concerning, the other application or applications in the file jacket.

35 U.S.C. 120 STATEMENT: In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request, 37 CFR 1.78(a).

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

- ☒ Enter the unentered amendment previously filed on May 27, 2003
Under 37 CFR 1.116 in the prior nonprovisional application.
- ☐ A preliminary amendment is enclosed.
- This application is filed by fewer than all the inventor(s) named in the prior application, 37 CFR 1.53(d)(4).
 - ☐ DELETE the following inventor(s) named in the prior nonprovisional application:

 - ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
- ☐ A new power of attorney or authorization of agent (PTO/SB/81) is enclosed.
- Information Disclosure Statement (IDS) is enclosed;
 - ☐ PTO-1449
 - ☐ Copies of IDS Citations

This collection of information is required by 37 CFR 1.53(d). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 24 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop CPA, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

07/16/2003 RHEBRIGHT 00000069 500208 09466136
750.00 DP
324.00 DP
252.00 DP
168.00 DA
01 FC:1006
02 FC:1202
03 FC:1201

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CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c) or (i))	-20* = 38 - 20 =	18	X \$ 18.00 =	\$ 324.00
	INDEPENDENT CLAIMS (37 CFR 1.16(B) OR (I))	-3** = 8 - 3 =	5	X \$ 84.00 =	252.00
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))			X \$ _____ =	
				BASIC FEE (37 CFR 1.16)	750.00
	Total of above Calculations=				\$1,326.00
	Reduction by 50% for filing by small entity (Note 37 CFR 1.27).				
	* Reissue claims in excess of 20 and over original patent. ** Reissue Independent claims over original patent.				
	TOTAL =				\$1,326.00

6. ☐ Small entity status: Applicant claims small entity status. See 37 CFR 1.27.
7. The Director is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 50 - 0208:
- a. ☒ Fees required under 37 CFR 1.16.
- b. ☐ Fees required under 37 CFR 1.17.
- c. ☐ Fees required under 37 CFR 1.18.
8. ☒ A check in the amount of \$ 1,326.00 is enclosed.
9. ☐ Payment by credit card. Form PTO-2038 is attached.
10. ☐ Applicant requests suspension of action under 37 CFR 1.103(b) for a period of _____ months (not to exceed 3 months) and the fee under 37 CFR 1.17(i) is enclosed.
11. ☒ New Attorney Docket Number, if desired 10693RMUS01U (NORT10-00255)
[Prior application Attorney Docket Number will carryover to this CPA unless a new Attorney Docket Number has been provided herein.]
12. a. ☐ Receipt For Facsimile Transmitted CPA (PTO/SB/29A)
- b. ☒ Return Receipt Postcard (Should be specifically itemized, See MPEP 503)
13. ☒ Other: Certificate of Mailing by Express Mail

NOTE: The prior application's correspondence address will carry over to this CPA
UNLESS a new correspondence address is provided below.

14. NEW CORRESPONDENCE ADDRESS	
<input checked="" type="checkbox"/> Customer Number or Bar Code Label	33000 (Insert Customer No. or Attach bar code label here)
or <input type="checkbox"/> New correspondence address below	
Name	
Address	
City	
Country	

15. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED	
Name (Print Type)	Robert D. McCutcheon
Signature	<i>Robert D. McCutcheon</i>
Registration No. (Attorney Agent)	38,717
Date	7/11/2003



DOCKET NO. 10693RMUS01U (NORT10-00255)
Customer No. 33000

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: : STEPHEN PETERS, ET AL.
Serial No. : 09/468,138
Filed : December 21, 1999
For : METHOD AND APPARATUS PROVIDING HYPOTHESIS
DRIVEN SPEECH MODELLING FOR USE IN SPEECH
RECOGNITION
Group No. : 2654
Examiner : V.P. Harper

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MAIL STOP CPA
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

CERTIFICATE OF MAILING BY POST OFFICE EXPRESS MAIL

Sir:

The undersigned hereby certifies that the following documents:

- 1) Continued Prosecution Application (CPA) Request Transmittal (in duplicate);
- 2) Check in the amount of \$1,326.00 for the CPA filing fee; and
- 3) Postcard receipt.

relating to the above application, were deposited as "Express Mail", Mailing Label No. EU950127423US with the United States Postal Service, addressed to Mail Stop CPA, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on July 11, 2003.

Date: 7/11/03

Kathy Cedar
Mailer

Date: 7/11/2003

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